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BEFORE THE ARIZONA CORPORATION COMMISSION

COMMISSIONERS

DOUG LITTLE – Chairman
BOB STUMP
BOB BURNS
TOM FORESE
ANDY TOBIN

Arizona Corporation Commission
DOCKETED

NOV 01 2016

DOCKETED BY

IN THE MATTER OF:

DOCKET NO. S-20988A-16-0354

WMF MANAGEMENT, LLC, a Delaware limited liability company,

WOODBIDGE GROUP OF COMPANIES, LLC, a Delaware limited liability company,

WOODBIDGE MORTGAGE INVESTMENT FUND 1, LLC, a Delaware limited liability company,

WOODBIDGE MORTGAGE INVESTMENT FUND 2, LLC, a Delaware limited liability company,

WOODBIDGE MORTGAGE INVESTMENT FUND 3, LLC, a Delaware limited liability company,

WOODBIDGE MORTGAGE INVESTMENT FUND 3A, LLC, a Delaware limited liability company,

ROBERT H. SHAPIRO, an unmarried man,

ROBERT W. CARFAGNO, SR., (CRD no. 2387162), and DEBRA L. CARFAGNO, husband and wife,

AIO FINANCIAL LLC, an Arizona limited liability company,

WILLIAM M. HOLLIDAY (CRD No. 4930333), and GUADALUPE A. HOLLIDAY, husband and wife,

Respondents.

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PROCEDURAL ORDER
REGARDING CONSENT TO EMAIL
SERVICE

BY THE COMMISSION:

On October 4, 2016, the Securities Division ("Division") of the Arizona Corporation Commission ("Commission") filed a Temporary Order to Cease and Desist and Notice of Opportunity for Hearing ("T.O. and Notice") against WMF Management, LLC, Woodbridge Group of Companies, LLC, Woodbridge Mortgage Investment Fund 1, LLC, Woodbridge Mortgage Investment Fund 2,

1 LLC, Woodbridge Mortgage Investment Fund 3, LLC, Woodbridge Mortgage Investment Fund 3A,
2 LLC, Robert H. Shapiro, Robert W. Carfagno, Sr. and Debra L. Carfagno (the "Carfagnoes"), AIO
3 Financial LLC, William M. Holliday and Guadalupe A. Holliday (the "Hollidays") (collectively
4 "Respondents") in which the Division alleged violations of the Arizona Securities Act ("Act") and the
5 Investment Management Act ("IM Act") in connection with the offer and sale of securities in the form
6 of notes, investment contracts, and real property investment contracts, and the provision of investment
7 advisory services.

8 **The Commission has created a process for parties to a docket to consent to receive service**
9 **by email, rather than by U.S. Mail, for all filings made in the docket.** This process requires a party
10 to file a Consent to Email Service and send a verification email to the Hearing Division, after which
11 the Hearing Division will issue a Procedural Order Granting Consent to Email Service.

12 Once a party's Consent to Email Service is approved, the **party will receive all filings made**
13 **by a Commissioner, the Commission's Executive Director, or a Commission Division via an email**
14 **containing a link to access the filing online.** These emails are automatically generated by the filing
15 of a document with Docket Control,¹ specifically by the document's being scanned into the
16 Commission's eDocket system. The party **may** also begin receiving service by email of other parties'
17 filings made in the docket, although whether or not to provide service by email is within each party's
18 discretion.

19 **The Commission appreciates when parties consent to email service and encourages parties**
20 **to do so.** Email service enables parties more promptly to receive service of filings made in a case by
21 a Commissioner, the Commission's Executive Director, or a Commission Division and reduces both
22 the amount of paper the Commission consumes and the Commission's postal expenses.

23 To allow outside parties to enjoy similar benefits, the **Commission has determined that the**
24 **Securities Division shall automatically be deemed to have consented** to email service in any case in
25 which it is a party.² In addition, the **Commission requests that parties cease providing courtesy**
26

27 ¹ There may be a brief delay in email service when a voluminous filing is made, due to the time necessary to scan the
filing into eDocket.

28 ² In cases that do not involve the Commission's Securities Division, the Commission's Legal Division shall be included
as counsel for the Commission Division involved in the case.

1 copies of their filings to the Hearing Division.

2 **Parties who do not consent to email service will not be provided documents filed by a**
3 **Commissioner, the Commission's Executive Director, or a Commission Division via email and**
4 will instead continue to receive all of these documents in hard copy via the U.S. Mail. Parties who do
5 not opt in to email service also may not receive hard copies of some documents filed by a Commissioner
6 or the Commission's Executive Director, such as Amendments to Open Meeting Agenda items.

7 **This Procedural Order is issued to notify parties of the process to Consent to Email**
8 **Service and the requirements related thereto.**

9 IT IS THEREFORE ORDERED that, as permitted under A.A.C. R14-3-107(B), **each party to**
10 **this matter may opt to receive service** of all filings in this docket, including all filings by parties, all
11 Procedural Orders and Recommended Opinions and Orders/Recommended Orders issued by the
12 Commission's Hearing Division, and all filings made by a Commissioner or the Commission's
13 Executive Director, **via email** sent to an email address provided by the party rather than via U.S. Mail.

14 **To exercise the email service option, a party shall:**

- 15 1. Ensure that the party has a valid and active email address to which the party has regular
16 and reliable access ("designated email address");
- 17 2. Complete a Consent to Email Service using the form available on the Commission's
18 website (www.azcc.gov) or a substantially similar format;
- 19 3. **File** the original and 13 copies of the **Consent to Email Service** with the Commission's
20 Docket Control, also providing service to each party to the service list;
- 21 4. **Send an email**, containing the party's name and the docket number for this matter, to
22 HearingDivisionServicebyEmail@azcc.gov from the designated email address, to allow
23 the Hearing Division to verify the validity of the designated email address;
- 24 5. Understand and agree that service of a filing on the party shall be complete upon the
25 first of the following to occur: (1) the sending, to the designated email address, of an
26 email containing an electronic copy of the filing or a link to access the filing online; or
27 (2) for a filing made by a Commissioner, the Commission's Executive Director, or a
28 Commission Division, the making of the filing with a service certification including

coding indicating that an automatic service email for the filing shall be sent to each party whose consent to email service has been approved;

6. Understand and agree that the party may provide additional email addresses on the Consent to Email Service for individuals to whom the party desires to have service emails sent as a courtesy, but that these courtesy email addresses are not the designated email address and will not be verified; and

7. Understand and agree that the party will no longer receive service of filings in this matter through First Class U.S. Mail or any other form of hard-copy delivery, unless and until the party withdraws this consent through a filing made in this docket.

IT IS FURTHER ORDERED that a party's Consent to Email Service shall not become effective until a Procedural Order is issued approving the Consent to Email Service for the party.

The Procedural Order shall be issued only after the party has completed steps 1 through 4 above, and the Hearing Division has verified receipt of an email from the party's designated email address.

IT IS FURTHER ORDERED that the Commission's Securities Division is deemed to have consented to email service for this docket using the following email address: MN@azcc.gov.

IT IS FURTHER ORDERED that if the Securities Division desires for courtesy emails to be sent to additional email addresses, the Securities Division shall make a filing listing those email addresses.

IT IS FURTHER ORDERED that a party's Consent to Service by Email in this docket does not change the requirement that documents must be filed with the Commission's Docket Control in hard copy with an original and the requisite number of copies.

IT IS FURTHER ORDERED that the Administrative Law Judge may rescind, alter, amend, or waive any portion of this Procedural Order either by subsequent Procedural Order or by ruling at hearing.

DATED this 1st day of November, 2016.



MARK PRENY
ADMINISTRATIVE LAW JUDGE

On this 1st day of November, 2016, the foregoing document was filed with Docket Control as a Procedural Order Regarding Consent to Email Service, and copies of the foregoing were mailed on behalf of the Hearing Division to the following who have not consented to email service. On this date or as soon as possible thereafter, the Commission's eDocket program will automatically email a link to the foregoing to the following who have consented to email service.

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Consented to Service By Email

By:


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Assistant to Mark Preny